Listing of All Claims Including Current Amendments

1. (Previously Presented) A system for facilitating securities trading comprising:

a computer;

a trader rules database accessible by said computer;

a set of trader risk assessment rules stored on said trader rules database;

software executing on said computer for receiving trader information from a trader, for retrieving said set of trader risk assessment rules from said trader rules database, and for assigning a trader risk rating to the trader based upon the received trader information and said set of trader risk assessment rules;

a trade rules database accessible by said computer;

a set of trade risk assessment rules stored on said trade rules database;

software executing on said computer for receiving trade details from a trader for a proposed trade, for retrieving said set of trade risk assessment rules from said trade rules database, and for assigning a trade risk rating to the proposed trade based upon the received trade details and said set of trade risk assessment rules; and

software executing on said computer for automatically approving the proposed

trade if the trader risk rating and the trade risk rating bear a predetermined relationship

to one another.

2. (Previously Presented) The system for facilitating securities trading of Claim 1

wherein the trader risk rating and the trade risk rating comprise numerical indications of

associated risk.

3. (Previously Presented) The system for facilitating securities trading of Claim 2

wherein the predetermined relationship between the trader risk rating and the trade risk

rating for receiving automatic approval of the proposed trade is that the trader risk rating

be no greater than the trade risk rating.

4. (Previously Presented) The system for facilitating securities trading of Claim 1

wherein the system determines the trader risk rating, and evaluates the relationship

between the trader risk rating and the trade risk rating, for each party to the proposed

trade.

5. (Previously Presented) The system for facilitating securities trading of Claim 1

further comprising:

a trader risk rating database accessible by said computer; and

software executing on said computer for storing the trader risk rating assigned to

the trader, and for retrieving that stored trader risk rating for the trader each time that

trader attempts to participate in a trade.

6. (Previously Presented) The system for facilitating securities trading of Claim 1

wherein the trader risk rating is indicative of the financial resources of and the

investment experience of the trader.

7. (Original) The system for facilitating securities trading of Claim 1 wherein the trade

risk rating is indicative of the underlying economic risks associated with an instrument

which is the subject of the proposed trade.

8. (Previously Presented) The system for facilitating securities trading of Claim 1

further comprising:

software executing on said computer for automatically generating and transmitting

to the trader a warning regarding the proposed trade if the trader

risk rating and the trade risk rating do not bear a predetermined relationship to one

another; and

software executing on said computer for automatically approving the proposed

trade if an override indication is received from the trader.

9. – 32. (Cancelled)

33. (Previously Presented) A method for facilitating securities trading comprising the

steps of:

providing a computer;

providing a trader rules database accessible by the computer;

storing a set of trader risk assessment rules on the trader rules database;

receiving trader information from a trader, retrieving the set of trader risk

assessment rules from the trader rules database, and assigning a trader risk rating to

the trader based upon the received trader information and the set of trader risk

assessment rules;

providing a trade rules database accessible by the computer;

storing a set of trade risk assessment rules on the trade rules database;

receiving trade details from a trader for a proposed trade, retrieving the set of trade

risk assessment rules from the trade rules database, and assigning a trade risk rating to

the proposed trade based upon the received trade details and the set of trade risk

assessment rules; and

automatically approving the proposed trade if the trader risk rating and the trade

risk rating bear a predetermined relationship to one another.

34. (Previously Presented) The method for facilitating securities trading of Claim 33

wherein:

the trader risk rating and the trade risk rating comprise numerical values

representing associated risk;

and said step of automatically approving the proposed trade comprises

automatically approving the proposed trade if the trader risk rating is no greater than the

trade risk rating.

35. (Previously Presented) The method for facilitating securities trading of Claim 33

wherein the trader risk rating is determined, and the relationship between the trader risk

rating and the trade risk rating is evaluated, for each party to the proposed trade.

36. (Previously Presented) The method for facilitating securities trading of Claim 33 further comprising the steps of:

    providing a trader risk rating database accessible by the computer; and

    storing the trader risk rating assigned to the trader on the trader risk rating database; and

    retrieving the stored trader risk rating for the trader each time that trader attempts to participate in a trade, such that the trader risk rating for each trader must only be assigned once.

37. (Previously Presented) The method for facilitating securities trading of Claim 33 further comprising the steps of:

    automatically generating and transmitting to the trader a warning regarding the proposed trade if the trader risk rating and the trade risk rating do not bear a predetermined relationship to one another; and

    automatically approving the proposed trade if an override indication is received from the trader.

38. - 53. (Cancelled)

54. (Previously Presented) A system for facilitating securities trading comprising:

a computer;

a trader rules database accessible by said computer;

a set of trader risk assessment rules stored on said trader rules database;

software executing on said computer for receiving trader information from a trader, for retrieving said set of trader risk assessment rules from said trader rules database, and for assigning a trader risk rating to the trader based upon the received trader information and said set of trader risk assessment rules;

a trader risk rating database accessible by said computer; and

software executing on said computer for storing the trader risk rating assigned to the trader on said trader risk rating database;

software executing on said computer for receiving trade details from a trader for a proposed trade and for automatically approving the proposed trade if the trader risk rating is below a risk threshold for the proposed trade.

55. (Withdrawn) The system for facilitating securities trading of Claim 54 wherein the system determines the trader risk rating and automatically approves the proposed trade for each party to the proposed trade.

56. (Withdrawn) The system for facilitating securities trading of Claim 54 further comprising software executing on said computer for retrieving the stored trader risk rating stored on said trader risk rating database for the trader each time that trader attempts to participate in a trade, such that the trader risk rating for each trader must only be assigned once.

57. (Withdrawn) The system for facilitating securities trading of Claim 54 wherein the trader risk rating is indicative of the financial resources of and the investment experience of the trader.

58. (Withdrawn) The system for facilitating securities trading of Claim 54 further comprising software executing on said computer for automatically generating and transmitting to the trader a warning regarding the proposed trade if the trader risk rating is not below a risk threshold for the proposed trade, and for automatically approving the proposed trade if an override indication is received from the trader.